

**FEC
FORM 3X****REPORT OF RECEIPTS
AND DISBURSEMENTS**
For Other Than An Authorized Committee

Office Use Only

1. NAME OF
COMMITTEE (in full)**USE FEC MAILING LABEL
OR TYPE OR PRINT**Example: If typing, type
over the lines

Securities Industry and Financial Markets Association Political Action Committee

ADDRESS (number and street)

1101 New York Avenue, NW

8th Floor

☐Check if different
than previously
reported. (ACC)

Washington

DC

20005

2. **FEC IDENTIFICATION NUMBER**

CITY

STATE

ZIP CODE

C00431312

3. IS THIS
REPORT☒NEW
(N)

OR

☐AMENDED
(A)4. **TYPE OF REPORT**

(Choose One)

(a) Quarterly Reports:

☐April 15
Quarterly Report (Q1)☐July 15
Quarterly Report (Q2)☐October 15
Quarterly Report (Q3)☐January 31
Quarterly Report (YE)☐July 31 Mid-Year
Report (Non-election
Year Only) (MY)☐Termination Report
(TER)(b) Monthly
Report
Due On:☐ Feb 20 (M2)☐ May 20 (M5)☐ Aug 20 (M8)☐ Nov 20 (M11)
(Non-Election
Year Only)☐ Mar 20 (M3)☐ Jun 20 (M6)☒ Sep 20 (M9)☐ Dec 20 (M12)
(Non-Election
Year Only)☐ Apr 20 (M4)☐ Jul 20 (M7)☐ Oct 20 (M10)☐ Jan 31 (YE)(c) 12-Day
PRE-Election
Report for the:☐

Primary (12P)

☐

General (12G)

☐

Runoff (12R)

☐

Convention (12C)

☐

Special (12G)

Election on

in the
State of(d) 30-Day
Post-Election
Report for the:☐

General (30G)

☐

Runoff (30R)

☐

Special (30S)

Election on

in the
State of

5. Covering Period

08

01

2011

through

08

31

2011

I certify that I have examined this Report and to the best of my knowledge and belief it is true, correct and complete.

Type or Print Name of Treasurer

Mr. Kenneth E. Bentsen, Jr.

Signature of Treasurer

Electronically Filed by Mr. Kenneth E. Bentsen, Jr.

Date

09

20

2011

NOTE : Submission of false, erroneous, or incomplete information may subject the person signing this Report to the penalties of 2 U.S.C 437g.

Office
Use
Only**FEC FORM 3X**
(Rev. 12/2004)

SUMMARY PAGE

OF RECEIPTS AND DISBURSEMENTS

FEC Form 3X (Rev. 02/2003)

Page 2

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M	M	D	D	Y	Y	Y	Y
0	8	0	1	2	0	1	1

To:

M	M	D	D	Y	Y	Y	Y
0	8	3	1	2	0	1	1

	COLUMN A This Period	COLUMN B Calendar Year-to-Date
6. (a) Cash on Hand January 1 2011		256466.58
(b) Cash on Hand at Beginning of Reporting Period	238778.14	
(c) Total Receipts (from Line 19)	13226.05	132377.76
(d) Subtotal (add lines 6(b) and 6(c) for Column A and Lines 6(a) and 6(c) for Column B)	252004.19	388844.34
7. Total Disbursements (from Line 31)	3571.61	140411.76
8. Cash on Hand at Close of Reporting Period (subtract Line 7 from Line 6(d))	248432.58	248432.58
9. Debts and Obligations owed TO the committee (Itemize all on Schedule C and/or Schedule D)	0.00	
10. Debts and Obligations owed BY the committee (Itemize all on Schedule C and/or Schedule D)	0.00	

☒ This Committee has qualified as a multicandidate committee. (see FEC FORM 1M)

For further information contact:

Federal Election Commission
999 E street, NW
Washington, DC 20463

Toll Free 800-424-9530
Local 202-694-1100

DETAILED SUMMARY PAGE OF RECEIPTS

FEC Form 3X (Rev. 06/2004)

Page 3

Write or Type Committee Name

Securities Industry and Financial Markets Association Political Action Committee

Report Covering the Period:

From:

M	M	D	D	Y	Y	W	Y
0	8	0	1	2	0	1	1

To:

M	M	D	D	Y	Y	W	Y
0	8	3	1	2	0	1	1

I. Receipts	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
11. Contributions (other than loans) From:		
(a) Individuals/Persons Other Than Political Committees		
(i) Itemized (use Schedule A)	11665.84	89158.41
(ii) Unitemized	1488.60	6546.50
(iii) TOTAL (add Lines 11(a)(i) and (ii)	13154.44	95704.91
(b) Political Party Committees	0.00	0.00
(c) Other Political Committees (such as PACs)	0.00	30500.00
(d) Total Contributions (add Lines 11(a)(iii),(b) and (c)) (Carry Totals to Line 33, page 5)	13154.44	126204.91
12. Transfers From Affiliated/Other Party Committees	0.00	0.00
13. All Loans Received	0.00	0.00
14. Loan Repayments Received	0.00	0.00
15. Offsets To Operating Expenditures (Refunds, Rebates, etc.) (Carry Totals to Line 37, page 5)	0.00	1020.60
16. Refunds of Contributions Made to Federal candidates and Other Political Committees	0.00	5000.00
17. Other Federal Receipts (Dividends, Interest, etc.)	71.61	152.25
18. Transfers from Non-Federal and Levin Funds		
(a) Non-Federal Account (from Schedule H3)	0.00	0.00
(b) Levin Funds (from Schedule H5)	0.00	0.00
(c) Total Transfer (add 18(a) and 18(b)).	0.00	0.00
19. Total Receipts (add Lines 11(d), 12, 13, 14, 15, 16, 17, and 18(c))	13226.05	132377.76
20. Total Federal Receipts (subtract Line 18(c) from Line 19)	13226.05	132377.76

II. DISBURSEMENTS		COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
21. Operating Expenditures:			
(a) Shared Federal/Non-Federal Activity (from Schedule H4)			
(i) Federal Share.....	0.00	0.00	
(ii) Non-Federal Share.....	0.00	0.00	
(b) Other Federal Operating Expenditures.....	71.61	1172.85	
(c) Total Operating Expenditures (add 21(a)(i), (a)(ii) and (b))..... ➤	71.61	1172.85	
22. Transfers to Affiliated/Other Party Committees.....	0.00	0.00	
23. Contributions to Federal Candidates/Committees and Other Political Committees.....	3500.00	139000.00	
24. Independent Expenditure (use Schedule E)	0.00	0.00	
25. Coordinated Expenditures Made by Party Committees (2 U.S.C. 441a(d)) (use Schedule F).....	0.00	0.00	
26. Loan Repayments Made.....	0.00	0.00	
27. Loans Made.....	0.00	0.00	
28. Refunds of Contributions To:			
(a) Individuals/Persons Other Than Political Committees	0.00	0.00	
(b) Political Party Committees	0.00	0.00	
(c) Other Political Committees (such as PACs)	0.00	0.00	
(d) Total Contribution Refunds (add Lines 28(a), (b), and (c))	0.00	0.00	
29. Other Disbursements.....	0.00	238.91	
30. Federal Election Activity (2 U.S.C 431(20))			
(a) Shared Federal Election Activity (from Schedule H6)			
(i) Federal Share	0.00	0.00	
(ii) "Levin" Share	0.00	0.00	
(b) Federal Election Activity Paid Entirely With Federal Funds	0.00	0.00	
(c) Total Federal Election Activity (add Lines 30(a)(i), 30(a)(ii) and 30(b))....	0.00	0.00	
31. Total Disbursements (add Lines 21(c), 22, 23, 24, 25, 26, 27, 28(d), 29 and 30(c))..	3571.61	140411.76	
32. Total Federal Disbursements (subtract Line 21(a)(ii) and Line 30(a)(ii) from Line 31).....	3571.61	140411.76	

III. Net Contributions/Operating Expenditures	COLUMN A Total This Period	COLUMN B Calendar Year-to-Date
33. Total Contributions (other than loans) from Line 11(d), page 3)	13154.44	126204.91
34. Total Contribution Refunds (from Line 28(d))	0.00	0.00
35. Net Contributions (other than loans) (subtract Line 34 from Line 33)	13154.44	126204.91
36. Total Federal Operating Expenditures (add Line 21(a)(i) and Line 21(b)).....	71.61	1172.85
37. Offsets to Operating Expenditures (from Line 15, page 3)	0.00	1020.60
38. Net Operating Expenditures (subtract Line 37 from Line 36)	71.61	152.25

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 6 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Tom Sagissor

Mailing Address 332 Melville Ct, N.

City

Stillwater

State

MN

Zip Code

55082-3929

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Regional Director - Midwest

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 0 2 / 2 0 1 1

Transaction ID: 19284541

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Kerry Withrow

Mailing Address 8195 Cassian Court

City

Las Vegas

State

NV

Zip Code

89129-4817

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Branch Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 0 1 / 2 0 1 1

Transaction ID: 19284835

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Edward K. Heyes

Mailing Address 9 Breyerwood Court

City

Hortonville

State

WI

Zip Code

54944-9421

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Branch Director and SVP

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 0 2 / 2 0 1 1

Transaction ID: 19286864

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1000.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 7 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. Kathy A. Gremillion

Mailing Address 4900 Emerson Avenue South

City

Minneapolis

State

MN

Zip Code

55419-5334

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 0 4 / 2 0 1 1

Transaction ID: 19304992

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Scott Ceniccola

Mailing Address 25 Austin Court

City

Mount Laurel

State

NJ

Zip Code

08054-4839

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Sr. Managing Director, Complex Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 0 4 / 2 0 1 1

Transaction ID: 19304993

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Gary Hoebelheinrich

Mailing Address 5330 Fairdale Road

City

Lincoln

State

NE

Zip Code

68510-2026

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Senior Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 0 4 / 2 0 1 1

Transaction ID: 19304994

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 8 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Matthew M. Boardman

Mailing Address 650 From Road

City

Paramus

State

NJ

Zip Code

07652-3517

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Managing Director - Head of Fixed Income

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 0 4 / 2 0 1 1

Transaction ID: 19334324

Amount of Each Receipt this Period

500.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Kent Christian

Mailing Address 600 S Warson Road

City

Saint Louis

State

MO

Zip Code

63124-1255

FEC ID number of contributing
federal political committee.

C

Name of Employer
Wells Fargo Advisors

Occupation

President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

5000.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 1 / 2 0 1 1

Transaction ID: 19334326

Amount of Each Receipt this Period

5000.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Bradley Angell

Mailing Address 327 N. 54th Ave, W #3

City

Duluth

State

MN

Zip Code

55807-2665

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Complex Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19334335

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

5750.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 9 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. Ann Senne

Mailing Address 19068 Inndale Drive

City

Lakeville

State

MN

Zip Code

55044-4414

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19334336

Amount of Each Receipt this Period

250.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Mr. Karl I. Riner

Mailing Address 88 Oakland Place

City

Buffalo

State

NY

Zip Code

14222-2030

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19334339

Amount of Each Receipt this Period

500.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Mr. Michael Owen

Mailing Address 320 Meadowlark Lane

City

Mocksville

State

NC

Zip Code

27028-4974

FEC ID number of contributing
federal political committee.

C

Name of Employer
Scott & Stringfellow, Inc.

Occupation

Sr. Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19334341

Amount of Each Receipt this Period

500.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1250.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 10 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Darryl Traweek

Mailing Address 3016-B Mid Lane

City

Houston

State

TX

Zip Code

77027-5638

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Senior Vice President - Regional Direc

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1000.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 3 0 / 2 0 1 1

Transaction ID: 19334350

Amount of Each Receipt this Period

1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)

Ms. Amy D. Sturtevant

Mailing Address 5705 Ogden Road

City

Bethesda

State

MD

Zip Code

20816-1260

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Branch Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 3 0 / 2 0 1 1

Transaction ID: 19334351

Amount of Each Receipt this Period

250.00

Contribution

C.

Full Name (Last, First, Middle Initial)

Douglas E. Artus

Mailing Address 1450 N. Dearborn Street
Coach House

City

Chicago

State

IL

Zip Code

60610-1576

FEC ID number of contributing
federal political committee.

C

Name of Employer
RBC Wealth Management

Occupation

Complex Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

250.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 3 0 / 2 0 1 1

Transaction ID: 19344173

Amount of Each Receipt this Period

250.00

Contribution

SUBTOTAL of Receipts This Page (optional)

1500.00

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
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Detailed Summary Page

FOR LINE NUMBER: PAGE 11 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 120 Broadway
35th FloorCity State Zip Code
New York NY 10271-3599FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial MarkOccupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

616.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346239

Amount of Each Receipt this Period

38.50

B.

Full Name (Last, First, Middle Initial)

Ms. Lisa Bleier

Mailing Address 1101 New York Ave, NW
8th FloorCity State Zip Code
Washington DC 20005-4269FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial MarkOccupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.99

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346241

Amount of Each Receipt this Period

19.23

C.

Full Name (Last, First, Middle Initial)

Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th FloorCity State Zip Code
Washington DC 20005-4269FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial MarkOccupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346242

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)

96.23

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 12 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3077.60

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346243

Amount of Each Receipt this Period

192.35

B.

Full Name (Last, First, Middle Initial)

Ms. Lisa Fues

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.99

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346244

Amount of Each Receipt this Period

19.23

C.

Full Name (Last, First, Middle Initial)

Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

462.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346245

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)

250.08

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 13 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1107.68

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346246

Amount of Each Receipt this Period

69.23

B.

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1600.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346247

Amount of Each Receipt this Period

100.00

C.

Full Name (Last, First, Middle Initial)

Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

770.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346248

Amount of Each Receipt this Period

77.00

SUBTOTAL of Receipts This Page (optional)

246.23

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 14 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. Cheryl Crispin

Mailing Address 1101 New York Ave, NW

City

Washington

State

DC

Zip Code

20005-4213

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1538.40

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346250

Amount of Each Receipt this Period

96.15

B.

Full Name (Last, First, Middle Initial)

Mr. James McHale

Mailing Address 1101 New York Ave, NW
8th Floor

City

Washington

State

DC

Zip Code

20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director, Associate General C

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

249.99

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 1 2 / 2 0 1 1

Transaction ID: 19346252

Amount of Each Receipt this Period

19.23

C.

Full Name (Last, First, Middle Initial)

Mr. Thomas F Price

Mailing Address 120 Broadway
35th Floor

City

New York

State

NY

Zip Code

10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

654.50

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346255

Amount of Each Receipt this Period

38.50

SUBTOTAL of Receipts This Page (optional)

153.88

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 15 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. Lisa Bleier

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.22

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346256

Amount of Each Receipt this Period

19.23

B.

Full Name (Last, First, Middle Initial)

Ms. Bradley Gaskins Edgell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

539.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346257

Amount of Each Receipt this Period

38.50

C.

Full Name (Last, First, Middle Initial)

Mr. Kenneth E. Bentsen, Jr.

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
EVP, Public Policy and Advocacy

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

3269.95

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346258

Amount of Each Receipt this Period

192.35

SUBTOTAL of Receipts This Page (optional)

250.08

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 16 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. Lisa Fues

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Vice President

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.22

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346259

Amount of Each Receipt this Period

19.23

B.

Full Name (Last, First, Middle Initial)

Ms Kim Chamberlain

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director & Counsel, State Gov

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

500.50

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346260

Amount of Each Receipt this Period

38.50

C.

Full Name (Last, First, Middle Initial)

Marin E. Gibson

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director & Counsel

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1176.91

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346261

Amount of Each Receipt this Period

69.23

SUBTOTAL of Receipts This Page (optional)

126.96

TOTAL This Period (last page this line number only)

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 17 / 22

(check only one)

☒ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☐ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Mr. Carter McDowell

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Senior Managing Director

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1700.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346262

Amount of Each Receipt this Period

100.00

B.

Full Name (Last, First, Middle Initial)

Mr. James McHale

Mailing Address 1101 New York Ave, NW
8th Floor

City State Zip Code
Washington DC 20005-4269

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director, Associate General C

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

269.22

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346263

Amount of Each Receipt this Period

19.23

C.

Full Name (Last, First, Middle Initial)

Ms. Kyle Brandon

Mailing Address 120 Broadway
35th Floor

City State Zip Code
New York NY 10271-3599

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation
Managing Director, DOR

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

847.00

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19346264

Amount of Each Receipt this Period

77.00

SUBTOTAL of Receipts This Page (optional)

196.23

TOTAL This Period (last page this line number only)

**SCHEDULE A (FEC Form 3X)
ITEMIZED RECEIPTS**Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 18 / 22

(check only one)

<input checked="" type="checkbox"/> 11a	<input type="checkbox"/> 11b	<input type="checkbox"/> 11c	<input type="checkbox"/> 12	<input type="checkbox"/> 13	<input type="checkbox"/> 14	<input type="checkbox"/> 15	<input type="checkbox"/> 16	<input type="checkbox"/> 17
---	------------------------------	------------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------	-----------------------------

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Ms. Cheryl Crispen

Mailing Address 1101 New York Ave, NW

City

Washington

State

DC

Zip Code

20005-4213

FEC ID number of contributing
federal political committee.

C

Name of Employer
Securities Industry and
Financial Mark

Occupation

Executive Vice President, Communicatio

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1634.55

Date of Receipt

M	M	/	D	D	/	Y	Y	Y	Y
0	8		2	6		2	0	1	1

Transaction ID: 19346267

Amount of Each Receipt this Period

96.15

SUBTOTAL of Receipts This Page (optional)

96.15

TOTAL This Period (last page this line number only)

11665.84

SCHEDULE A (FEC Form 3X) **ITEMIZED RECEIPTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER: PAGE 19 / 22

(check only one)

☐ 11a ☐ 11b ☐ 11c ☐ 12
☐ 13 ☐ 14 ☐ 15 ☐ 16 ☒ 17

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Securities Industry and Financial Markets Association

Mailing Address 120 Broadway
Floor 35

City State Zip Code
New York NY 10271

FEC ID number of contributing
federal political committee.

C

Name of Employer

Occupation

Receipt For:

☐ Primary ☐ General
☐ Other (specify) ▼

Aggregate Year-to-Date ▼

1172.85

Date of Receipt

M M / D D / Y Y Y Y
0 8 / 2 6 / 2 0 1 1

Transaction ID: 19334342

Amount of Each Receipt this Period

71.61

Reimbursement of Bank Fees

SUBTOTAL of Receipts This Page (optional)

71.61

TOTAL This Period (last page this line number only)

71.61

**SCHEDULE B (FEC Form 3X)
ITEMIZED DISBURSEMENTS**Use separate schedule(s)
for each category of the
Detailed Summary PageFOR LINE NUMBER:
(check only one)

PAGE 20 / 22

<input type="checkbox"/> 21b	<input type="checkbox"/> 22	<input checked="" type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

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NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

Fitzpatrick For Congress

Mailing Address 115 North Broad Street

City Doylestown State PA Zip Code 18901

Purpose of Disbursement
ContributionCandidate Name
Rep. Michael Fitzpatrick011
Category/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: PA District: 08

Transaction ID: 19304998

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	8		0	4		2	0	1	1

Amount of Each Disbursement this Period

1000.00

Contribution

B.

Full Name (Last, First, Middle Initial)

David Weprin For Congress

Mailing Address 72-50 Austin Street Second Floor

City Forest Hills State NY Zip Code 11375

Purpose of Disbursement
ContributionCandidate Name
Mr. David Weprin011
Category/
TypeOffice Sought: ☒ House
☐ Senate
☐ PresidentDisbursement For: 2012
☒ Primary ☐ General
☐ Other (specify) ▼

State: NY District: 09

Transaction ID: 19332817

Date of Disbursement

M	M	/	D	D	/	Y	Y	Y	Y
0	8		3	0		2	0	1	1

Amount of Each Disbursement this Period

2500.00

Contribution

SUBTOTAL of Disbursements This Page (optional)

3500.00

TOTAL This Period (last page this line number only)

3500.00

SCHEDULE B (FEC Form 3X) **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 21 / 22

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A. Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 19344186 Date of Disbursement																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>8</td><td></td><td>0</td><td>5</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	8		0	5		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	8		0	5		2	0	1	1												
City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td>25.34</td> </tr> </table>	25.34																			
25.34																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
B. Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 19344188 Date of Disbursement																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>8</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	8		0	2		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	8		0	2		2	0	1	1												
City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td>27.48</td> </tr> </table>	27.48																			
27.48																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				
C. Full Name (Last, First, Middle Initial) PNC Bank	Transaction ID: 19344189 Date of Disbursement																				
Mailing Address 1400 K Street, NW	<table border="1"> <tr> <td>M</td><td>M</td><td>/</td><td>D</td><td>D</td><td>/</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> <tr> <td>0</td><td>8</td><td></td><td>0</td><td>2</td><td></td><td>2</td><td>0</td><td>1</td><td>1</td> </tr> </table>	M	M	/	D	D	/	Y	Y	Y	Y	0	8		0	2		2	0	1	1
M	M	/	D	D	/	Y	Y	Y	Y												
0	8		0	2		2	0	1	1												
City Washington State DC Zip Code 20005	Amount of Each Disbursement this Period																				
Purpose of Disbursement Bank Fees	<table border="1"> <tr> <td>15.13</td> </tr> </table>	15.13																			
15.13																					
Candidate Name	<table border="1"> <tr> <td>001</td> </tr> </table> Category/ Type	001																			
001																					
Office Sought: <input type="checkbox"/> House <input type="checkbox"/> Senate <input type="checkbox"/> President State: District:	Disbursement For: <input type="checkbox"/> Primary <input type="checkbox"/> General <input type="checkbox"/> Other (specify) ▼ Bank Fees																				

SUBTOTAL of Disbursements This Page (optional)

67.95

TOTAL This Period (last page this line number only)

SCHEDULE B (FEC Form 3X) **ITEMIZED DISBURSEMENTS**

Use separate schedule(s)
for each category of the
Detailed Summary Page

FOR LINE NUMBER:
(check only one)

PAGE 22 / 22

<input checked="" type="checkbox"/> 21b	<input type="checkbox"/> 22	<input type="checkbox"/> 23	<input type="checkbox"/> 24	<input type="checkbox"/> 25	<input type="checkbox"/> 26
<input type="checkbox"/> 27	<input type="checkbox"/> 28a	<input type="checkbox"/> 28b	<input type="checkbox"/> 28c	<input type="checkbox"/> 29	<input type="checkbox"/> 30b

Any Information copied from such Reports and Statements may not be sold or used by any person for the purpose of soliciting contributions or for commercial purposes, other than using the name and address of any political committee to solicit contributions from such committee

NAME OF COMMITTEE (In Full)

Securities Industry and Financial Markets Association Political Action Committee

A.

Full Name (Last, First, Middle Initial)

PNC Bank

Mailing Address 1400 K Street, NW

City
Washington

State
DC

Zip Code
20005

Purpose of Disbursement

Bank Fees

Candidate Name

001
Category/
Type

Office Sought: ☐ House
☐ Senate
☐ President

State:

District:

Disbursement For:

☐ Primary ☐ General
☐ Other (specify) ▼

Transaction ID: 19344190

Date of Disbursement

MM / DD / YYYY
08 / 02 / 2011

Amount of Each Disbursement this Period

3.66

Bank Fees

SUBTOTAL of Disbursements This Page (optional)

3.66

TOTAL This Period (last page this line number only)

71.61